

FORM PTO-1390  
(REV. 12-2001)

U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE

ATTORNEY'S DOCKET NUMBER

TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A FILING UNDER 35 U.S.C. 371

4959/PCT

U.S. APPLICATION NO. (if known, see 37 CFR 1.5  
not known, it is assigned  
**10/588297**INTERNATIONAL APPLICATION NO.  
PCT/EP2005/000181INTERNATIONAL FILING DATE  
11 January 2005 (11.01.2005)PRIORITY DATE CLAIMED  
13 January 2004 (13. 01.2004)

## TITLE OF INVENTION

Cellular Wheel Sluice

## APPLICANT(S) FOR DO/EO/US

Harald FABER, Klaus KOHLMUELLER, Robert WEINAND

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a filing under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a filing under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☐ The US has been elected by the expiration of 19 months from the priority date (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☐ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☒ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☒ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☒ is attached hereto, along with a Translator's Declaration. The Translation is accurate.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of the amendments to the claims under PCT Article 19 (35 U.S.C. 371 (c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)). EXECUTED
10. ☐ An English language translation of the annexes of the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

## Items 11 to 20 below concern document(s) or information included:

11. ☒ An Information Disclosure Statement under 37 CFR 1.97 and 1.98, Form PTO-1449, Engl. Version of Intern. Search Report, 4 references, 7 Engl. Abstracts, ~~copy and~~ *copy + Engl. Transl. for*
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 CFR 3.28 and 3.31 is included. *German Search Report*
13. ☒ A FIRST preliminary amendment.
14. ☒ A SECOND or SUBSEQUENT preliminary amendment.
15. ☐ A substitute specification.
16. ☐ A change of power of attorney and/or address letter.
17. ☒ Other items or information:
  - a) a return receipt postcard;
  - b) Form PTO-2038 to cover the filing fee & fee for Assignment Recordal;
  - c) 3 Figs. on 2 sheets of formal drawings.

Note: The priority of German Patent Application 10 2004 001 965.7, filed in the Fed. Rep. of Germany on January 13, 2004 is claimed for the present Application under 35 U.S.C. §119.

Note: The entire disclosure of PCT International Application PCT/EP2005/000181 is incorporated herein by reference.

Note: This Application has been assigned to: SCHENCK PROCESS GmbH of: Landwehrstr. 55, D-64293 Darmstadt, Fed. Rep. of Germany. The Assignment is being submitted herewith for recordal.

Note: Please print the Assignee data with the Published Application.

USPS EXPRESS MAIL

EV 636 852 094 US

JULY 13 2006

IAP6 Rec'd PCT/PTO 13 JUL 2006

U.S. APPLICATION NO. <b>10/586297</b> unknown to be assigned		INTERNATIONAL APPLICATION NO. PCT/EP2005/000181		ATTORNEYS DOCKET NUMBER 4959/PCT	
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<b>21. The following fees are submitted:</b> <b>BASIC NATIONAL FEE (37 CFR 1.492 (a) (1) - (5)):</b> Neither international preliminary examination fee (37 CFR 1.482) nor international search fee (37 CFR 1.445(a)(2)) paid to USPTO and International Search Report not prepared by the EPO or JPO. .... <b>\$1040.00</b> National Phase filing fee (\$300), Search fee (\$400), Examination fee (\$200) ..... = <b>\$ 900.00</b> International preliminary examination fee (37 CFR 1.482) not paid to USPTO but international search fee (37 CFR 1.445(a)(2)) paid to USPTO ..... <b>\$740.00</b> International preliminary examination fee (37 CFR 1.482) paid to USPTO but all claims did not satisfy provisions of PCT Article 33(1)-(4) ..... <b>\$710.00</b> International preliminary examination fee (37 CFR 1.482) paid to USPTO and all claims satisfied provisions of PCT Article 33(1)-(4) ..... <b>\$100.00</b> <b>ENTER APPROPRIATE BASIC FEE AMOUNT = 900.00</b>				<b>CALCULATIONS PTO USE ONLY</b>	
Surcharge of \$130.00 for furnishing the oath or declaration later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(e)).				\$ 900.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE	\$	
Total claims	9 - 20 =	0	x \$18.00	\$ 0	
Independent claims	1 - 3 =	0	x \$80.00	\$ 0	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)				+ \$200.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				\$ 900.00	
<input type="checkbox"/> Applicant claims small entity status. See 37 CFR 1.27. The fees indicated above are reduced by 1/2.				+	
<b>SUBTOTAL =</b>				\$	
Processing fee of \$130.00 for furnishing the English translation later than <input type="checkbox"/> 20 <input type="checkbox"/> 30 months from the earliest claimed priority date (37 CFR 1.492(f)).				\$	
<b>TOTAL NATIONAL FEE =</b>				\$ 900.00	
Fee for recording the enclosed assignment (37 CFR 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 CFR 3.28, 3.31). \$40.00 per property +				\$ 40.00	
<b>TOTAL FEES ENCLOSED =</b>				\$ 940.00	
				Amount to be refunded:	
				charged:	

a. ☐ A check in the amount of \$ \_\_\_\_\_ to cover the above fees is enclosed.

b. ☐ Please charge my Deposit Account No. \_\_\_\_\_ in the amount of \$ \_\_\_\_\_ to cover the above fees.  
 A duplicate copy of this sheet is enclosed.

c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any  
 overpayment to Deposit Account No. 50-0507.


d. ☒ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card  
 information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 CFR 1.494 or 1.495 has not been met, a petition to revive (37 CFR  
 1.137 (a) or (b)) must be filed and granted to restore the application to pending status.

**The Power of Attorney and the Correspondence**  
**Address for this Application are to**  
**CUSTOMER NO.: 021553.**

  
 SIGNATURE  
 Walter F. Fasse - 7/13/06  
 NAME  
 36132  
 REGISTRATION NUMBER

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JULY 13 2006